

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 15250/006001  U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/533483</b>
INTERNATIONAL APPLICATION NO. PCT/JP2003/013899	INTERNATIONAL FILING DATE 30 October 2003	PRIORITY DATE CLAIMED 1 November 2002
TITLE OF INVENTION    OPTICAL MULTIPLEXER/DEMULTIPLEXER AND MANUFACTURING METHOD FOR OPTICAL . . .		
APPLICANT(S) FOR DO/EO/US    Koichi Furusawa et al.		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 

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  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). **(UNSIGNED)**
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Return Receipt Postcard

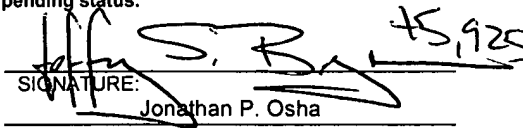
JC20 Rec'd PCT/PTO 29 APR 2005

PTO-1390 (Rev. 02-2005)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. <b>10/533483</b> <small>(See 37 CFR 1.5)</small>		INTERNATIONAL APPLICATION NO. <b>PCT/JP2003/013899</b>		ATTORNEY'S DOCKET NUMBER <b>15250/006001</b>		
The following fees have been submitted				CALCULATIONS	PTO USE ONLY	
21. <input checked="" type="checkbox"/> Basic national fee .....\$300				\$ 300.00		
22. <input checked="" type="checkbox"/> Examination fee						
If international preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) .....\$100 All other situations .....\$200				\$ 200.00		
23. <input checked="" type="checkbox"/> Search fee						
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority .....\$100 International Search Report prepared and provided to the Office .....\$400 All other situations .....\$500				\$ 500.00		
<b>TOTAL OF 21, 22 and 23 =</b>				<b>\$ 1,000.00</b>		
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.						
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE			
230 - 100 =	130 /50 =	3	x \$250.00	750.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$ 130.00		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			
Total claims	126 - 20 =	106	x 50.00	\$ 5,300.00		
Independent claims	15 - 3 =	12	x 200.00	\$ 2,400.00		
MULTIPLE DEPENDENT CLAIM(s) (if applicable)			+ 360.00	\$ 360.00		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 9,940.00</b>		
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.						
<b>SUBTOTAL =</b>				<b>\$ 9,940.00</b>		
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$		
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 9,940.00</b>		
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$		
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 9,940.00</b>		
				Amount to be refunded:	\$	
				Amount to be charged:	\$	
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0591</u> . A duplicate copy of this sheet is enclosed. d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.						
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status.						
SEND ALL CORRESPONDENCE TO:						
				SIGNATURE:  NAME: <u>Jonathan P. Osha</u>	<b>5,925</b> 33,986	
CUSTOMER NUMBER: 22511				REGISTRATION NUMBER		

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Application No. (if known): Not Yet Assigned

Attorney Docket No.: 15250/006001

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV644973806US in an envelope addressed to:

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Beri W. Hartwell

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n/a

Registration Number, if applicable

(713) 228-8600

Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Application Data Sheet (5 pages)  
Oath or declaration of the inventor(s) (**UNSIGNED**) (5 pages)  
Transmittal Letter to the United States Designated-Elected Office (2 pages)  
Payment by credit card. Form PTO-2038 is attached (1 page)  
Charge \$9,940.00 to credit card  
English language translation of the International application (230 pages)

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PATENT APPLICATION  
ATTORNEY DOCKET NO. 15250.006001

**APPLICATION**  
**FOR**  
**UNITED STATES LETTERS PATENT**

**TITLE: OPTICAL MULTIPLEXER/DEMULTIPLEXER AND  
MANUFACTURING METHOD FOR OPTICAL  
MULTIPLEXER/DEMULTIPLEXER**

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Date of Deposit: APRIL 29, 2005